

Office of the City Controller
Audit Division Status
June 30, 2016

Report/Project on 2016 Audit Plan	Source of Proposed Engagement	FY2016 Actual	Report/Project	Type of Audit	Completion Status
1	FY2016 Audit Plan	✓	BARC Cash Handling Processes	Performance/Compliance	Reporting Phase
2	FY2016 Audit Plan	✓	Chapter 380 Program Review	Performance	Fieldwork Phase
3	FY2016 Audit Plan		TIRZ Fund 2409	Performance/Compliance	Work has not begun
4	FY2016 Audit Plan	✓	HHD Cash Handling Processes	Performance/Compliance	Reporting Phase
5	FY2016 Audit Plan		Citywide Cloud Applications		Work has not begun
6	FY2016 Audit Plan	✓	HPC-ARA - Permitting Operations	Performance / Compliance	Planning Phase - Notification Letter 3/2/2016
7	FY2016 Audit Plan		HPD Property/Evidence Room		Work has not begun
8	FY2016 Audit Plan		CSMART Application and Cash Management		Work has not begun
9	FY2016 Audit Plan	✓	OBO Pay or Play	Performance / Compliance	Planning Phase - Notification Letter 2/22/2016
10	FY2016 Audit Plan		PARD Cash Handling Processes	Performance / Compliance	Planning Phase
11		✓	Review of Assets and Liabilities - Office of the City Controller	Agreed-Upon Procedures	Report issued as 2016-06
Carryover from FY2015					
12	FY2015 Audit Plan	✓	ARA Parking Management - Revenue	Performance / Compliance	Reporting Phase - Manager reviewing findings and documentation
13	FY2015 Audit Plan	✓	City-Wide Policy Framework	Performance / Compliance	AP 7-7: Report issued as 2016-08 AP 2-5: Reporting Phase
14	FY2014 Audit Plan	✓	FMD - Contract	Performance / Compliance	Report issued as 2016-07
15	FY2014 Audit Plan	✓	McLemore Contract	Performance / Compliance	Report issued as 2016-05
16	FY2014 Audit Plan	✓	HAS - Project 417F Phase II and III Closeout	Performance / Compliance	Report issued as 2016-02
17	FY2015 Audit Plan	✓	HPD - Child Safety Fund	Performance / Compliance	Report issued as 2016-03
18	FY 2012 Audit Plan	✓	ITD - Telecom Audit	Contract Compliance /Performance	Consultant Fieldwork FY 2016 Savings Realized \$334,000; Total Savings To-Date: \$1,460,000
Alternative/ Optional					
19			ARA - BARC Procurement Compliance	Compliance / Process	Open
20			FIN - Delinquent Account Collection Contract	Contract Compliance / Performance	Open
21			HAS - Construction Contract Compliance	Performance / Compliance	Open
22			Houston First Corporation - Contract Compliance	Performance / Compliance	Open
23			HR - Temporary Services Contract Compliance	Performance / Compliance	Open
24			Citizen Centric Reporting (CCR)	Annual Reporting	Initial work in progress to identify measurements for use in the report.

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Recurring & Special Projects					
25	Audit Plan/Required	✓	Enterprise Risk Assessment Update	Required	Planning phase - All entrance conferences completed; waiting for questionnaires to be returned.
26	Audit Plan/Required	✓	Follow-up Procedures	Performance / Required	PARD follow-up report issued as 2016-09. PWE follow-up report issued as 2016-10. Continuing follow-up schedule.
27	Audit Plan/Required	✓	Fraud Consideration/Reporting/Hotline	Required	Ongoing
28	Audit Plan/Required		Quality Assurance	Required	Ongoing
29			15 - A-133/CAFR Assistance	Compliance	As needed / requested